



Public Safety Interoperable Communications Office Arizona's NECP Goal Two Performance Assessment Guide

Table of Contents

1	Background	1
2	Purpose & Scope	1
3	Definitions	1
4	Performance Assessment Phases	2
4.1	Phase I - Event Selection	2
4.1.1	Guidance for Phase I	2
4.2	Phase II - Pre-planning	3
4.2.1	Guidelines for Phase II	3
4.3	Phase III - Event Observation	4
4.3.1	Guidelines for Phase III	4
4.4	Phase IV – Completion of Assessment Documentation	5
4.4.1	Guidelines for Phase IV	5
5	Summary of Key Dates	6

Appendices

- I Arizona's NECP Goal Two Methodology
- II NECP Goal Two Assessment Event Selection Form
- III NECP Goal Two Response Level Observational Elements

Distribution Statement: The Point of Contact (POC) for this document is the Public Safety Interoperable Communications (PSIC) Office in the Government Information Technology Agency (GITA), State of Arizona (www.azgita.gov/psic) .

Arizona's NECP Goal Two Performance Assessment Guidance

1. Background

The National Emergency Communications Plan (NECP) is the Nation's first strategic plan to improve emergency response communications. The Office of Emergency Communications (OEC) at US Department of Homeland Security (DHS) developed the NECP in cooperation with federal departments and agencies, state, local, and tribal governments, emergency response providers and the private sector.

The vision of the NECP is to ensure emergency response personnel at all levels of government and across all disciplines, can communicate as needed, on demand and as authorized through improvements in communications operability, interoperability and continuity nationwide. This guidance relates to the 2008 National Emergency Communications Plan published by DHS. Additional information on the NECP can be found at www.azgita.gov/psic/library/necp/.

2. Purpose & Scope

This document serves as a guide for State of Arizona Non-Urban Area Security Initiative (non-UASI) jurisdictions in meeting Goal Two of the NECP required by the Federal Department of Homeland Security's Office of Emergency Communications which states:

“By 2011, 75 percent of non-UASI jurisdictions are able to demonstrate response-level emergency communications within one hour for routine events involving multiple jurisdictions and agencies”.

This guidance supplements the “Arizona Approach for Assessing Non-UASI counties Progress toward Meeting NECP Goal Two Methodology”, (“Arizona’s Goal Two Methodology”) (see Appendix I) approved by the Public Safety Communications Advisory Commission (PSCC) on July 20th, 2010. The Methodology document is also found at www.azgita.gov/psic/library/necp/.

There are two areas specifically measured by the NECP Goal Two assessment process as described in Arizona’s Goal Two Methodology:

1. Capability Data
2. Performance Data.

This Performance Assessment Guide provides additional information regarding collection of Performance Data from non-UASI jurisdictions only. All submissions under this Guide shall be made in writing to the PSIC Office at necp@azgita.gov.

3. Definitions

A non-UASI jurisdiction is defined by the NECP as all U.S. counties, county-equivalents and tribal nations. Non-UASIs don't include the 60 high-risk urban areas (UASIs). Maricopa County and Pima County are designated UASIs within the State of Arizona.

Arizona's NECP Goal Two Performance Assessment Guidance

Therefore, the remaining 13 Arizona counties are non-UASI jurisdictions to which this Guide applies.

Response-level emergency communication is defined by the NECP as the capacity of individuals with primary operational leadership responsibility to manage resources and make timely decisions during an incident involving multiple agencies, without technical or procedural communication impediments.

The within one-hour requirement is defined by the NECP as one hour after the arrival of two or more emergency responders at an exercise, event, or incident requiring response from multiple jurisdictions and agencies, after the establishment of an incident command site.

A routine event can be a planned event but must: (1) involve multiple jurisdictions and responder disciplines, and (2) be managed under a National Incident Management System (NIMS) compliant Incident Command System (ICS) structure.

4. Performance Assessment Phases

The Performance Assessment process is outlined in Arizona's Goal Two Methodology as involving four Phases:

1. Event Selection
2. Pre-Planning
3. Event Observation
4. Completion of Assessment Documentation

4.1 Phase I - Event Selection

As stated in Arizona's Goal Two Methodology, NECP Goal Two Performance will be assessed on a county-by-county basis in Arizona. Each Non-UASI county will submit two or three possible planned events or exercises that could be used to assess their performance. The PSIC Office will review and publish a list of events or exercises to be assessed statewide (one per county).

4.1.1 Guidelines for Phase I - Event Selection

- A. Arizona's Goal Two Methodology defines a region, for purposes of NECP Goal Two Assessment, as a county, which includes all jurisdictions therein.
- B. Each non-UASI county must submit NECP Goal Two Assessment Event Selection Form (Appendix II) to PSIC no later than December 3rd, 2010.
- C. Each County must identify on the Selection Form, two or three possible events for observation to occur between December 15th, 2010 and May 31st, 2011.

Arizona's NECP Goal Two Performance Assessment Guidance

- D. By submitting an event on the Selection Form, the county is representing to PSIC that it can meet the pre-planning deadlines in Section 4.2.1 for that event.
- E. Counties wishing for PSIC to consider an event occurring in December 2010 or January 2011 should submit their Selection Form as soon as possible to the PSIC Office for expedited consideration.
- F. Multiple jurisdictions (i.e. Federal, State, local, and/or tribal) and multiple disciplines (i.e., fire, emergency medical services, law enforcement, other) must be involved in any proposed event. Each proposed event must be managed under a National Incident Management System (NIMS) compliant Incident Command System (ICS).
- G. The PSIC Office can assist jurisdictions in the identification of appropriate events. Examples of potential events include sporting events, parades, carnivals, marathons, college graduations, air shows or festivals.
- H. Counties may "combine efforts" to utilize one event but only if this would be consistent with normal response plans for such an event. In such instances, it is also required that each county have at least two agencies participating in the event and both counties must agree to receive the same score for their Goal Two Performance Assessment.
- I. The PSIC Office will post the list of selected events for all non-UASI counties on or before December 15th, 2010.

4.2. Phase II - Pre-Planning:

As stated in Arizona's Goal Two Methodology, a Point of Contact (POC) for each non-UASI county must be designated by the county to coordinate local performance measurement efforts. The PSIC Office will help counties with pre-planning for the selected events.

4.2.1. Guidelines for Phase II – Pre-Planning

- A. Unless another POC is specified by the County in writing to the PSIC Office by December 22, 2010, the POC for each County's Performance Assessment will be the County's Emergency Manager.
- B. In order to prepare for the event and to facilitate pre-planning support from the PSIC Office, the following items are required to be submitted to the PSIC Office during the Pre-Planning Phase:
 - 1. Submit at least Thirty Calendar Days Prior to Selected Event:

Arizona's NECP Goal Two Performance Assessment Guidance

Completed CASM Import Spreadsheets, including information in each of the areas specified below. [Note: These are available online at <http://www.azgita.gov/psic/CASM>.]:

- a. Agency Template
- b. POC Template
- c. Channel Template
- d. RBS Template
- e. Dispatch Template
- f. Tower Template
- g. Talkgroup Template
- h. Radio Cache Template

[Note: PSIC will import this data into CASM and generate an ICS-217a as well as Section 3 and Appendixes A-E of a Tactical Interoperability Communications Plan (TICP) for the region.]

2. Submit at least Five Business Days Prior to Selected Event:

i) Sections 1 & 2 of the county's TICP or equivalent interoperability Policies, Standards and Procedures, and

ii) A draft Incident Action Plan (IAP) which includes each of the forms specified below. [Note: All IAP forms are available online at <http://training.fema.gov/EMIWeb/IS/ICSResource/Forms.htm>.]

- a. ICS-202
- b. ICS-203
- c. ICS-204(s)
- d. ICS-205
- e. ICS-206
- f. ICS-207
- g. ICS-217a (Note: Draft will be generated by PSIC from CASM data)
- h. And any ICS forms or documents relevant to the event.

- C. PSIC is available to assist in preparation of this information when requested sufficiently in advance, preferably Thirty to Sixty Calendar Days prior to the selected event date.

4.3. Phase III – Event Observation:

As stated in Arizona's Goal Two Methodology, the PSIC Office will observe and/or help with the selected events and exercises.

4.3.1. Guidelines for Phase III – Event Observation

Arizona's NECP Goal Two Performance Assessment Guidance

- A. Selected events will occur between December 15th, 2010 and May 31st, 2011.
- B. The PSIC Office will select the Observation Team for the Selected Event.
- C. The Observation Team will consist of two to five members, all of whom are well-versed in the National Emergency Communications Plan and interoperable communications, including one to three members of the PSIC Office.
- D. The observation team will use the NECP Goal One & Two Response-Level Emergency Communications Observational Elements (Appendix III) or the updated elements issued by Federal DHS OEC to assess the County's Performance.
- E. The non-UASI county will provide the Observation Team with full access to the event, incident command post, Communications Unit Leader (COML), emergency operations center, all related documentation as well as any and all first responders involved with the event.
- F. The Event Point of Contact (POC) for the Assessment will be determined on a per-event basis by the PSIC Office and the County Emergency Manager. Typically, this role is filled by the COML. The Event POC is usually not the same individual as the County POC involved in pre-planning.
- F. If a selected event must be cancelled, the County POC shall notify the PSIC Office immediately. PSIC will endeavor to arrange with the county for observation of another event.

4.4. Phase IV – Completion of Assessment Documentation

As stated in Arizona's Goal Two Methodology, as part of the after action process, a session will be conducted by the PSIC Office with local staff to complete the OEC performance reporting tool. PSCC will review final performance reports for inclusion in the 2011 SCIP Implementation Report.

4.4.1. Guidelines for Phase IV – Completion of Assessment Documentation

- A. Upon conclusion of the event, the Observation Team will meet to generate a detailed report of their observations and will complete the OEC performance reporting tool report.
- B. The Observation Team will provide the County POC with the draft report within Sixty Calendar Days following the event.

Arizona's NECP Goal Two Performance Assessment Guidance

- C. If requested to do so, the PSIC Office staff involved in the assessment will meet with local staff, which may include the incident commander and/or COML, to review the draft report.
- D. Once the County POC receives the draft report, the county has Fifteen Business Days to review it. The county may also provide comments during the Fifteen Business Day review period.
- E. The comments received from each County will be reviewed by the PSIC Office to ensure report accuracy and clarity.
- F. Within Thirty Calendar Days after the County's review period, the final report will be transmitted to the county emergency manager and the Arizona Department of Homeland Security and will be labeled for Official Use only.
- G. The results of the Assessment will be transmitted to the Department of Homeland Security Office of Emergency Communications in accordance with its published requirements. If a summary or abstract is permitted, that will be provided. If detailed reports are required then those will be submitted.
- H. PSCC (in a public meeting) will review and approve submission of final documentation regarding performance to OEC. PSIC will submit required information to Federal DHS OEC in accordance with federal deadlines.

5. Summary of Key Dates

Phase I: Event Selection

December 3, 2010	County POC Submits Event Selection Form (Appendix II) (4.1.1 B)
December 15, 2010	PSIC Publishes List of Selected Events (One per Non-UASI County) (4.1.1 I)

Phase II: Pre-Planning

December 22, 2010	County identifies POC for Assessment (4.2.1 A)
30 Calendar Days Prior To Selected Event	County submits CASM Import spreadsheets (4.2.1 B1)
5 Business Days Prior To Selected Event	County submits Sections 1 & 2 of County's TICP or equivalent PSP's (4.2.1 B2i)
5 Business Days Prior	

Arizona's NECP Goal Two Performance Assessment Guidance

To Selected Event	County submits Incident Action Plan (IAP) (4.2.1 B2ii)
-------------------	---

Phase III: Event Observation

December 15, 2010 to May 31, 2011	Event Observations Conducted (4.3.1 A)
--------------------------------------	--

Phase IV: Completion of Assessment Documentation

60 Calendar Days after Event	Draft Report to County POC (4.4.1 B)
15 Business Days after Receive Draft Report	County Submits Written Comment (4.4.1 D)
30 Calendar Days after Receive Comments	Final Report to County POC & AZDOHS (4.4.1 F)
Federal Deadline	Report or Summary Information to Federal DHS OEC (4.4.1 H)

Appendix I



Public Safety Communications Advisory Commission Arizona Approach for Assessing Non-UASI Counties Progress toward Meeting NECP Goal Two

Table of Contents

1	Background	1
2	NECP Goal Two Measurement.....	1
3	Documenting NECP Goal Two Capabilities	2
4	Demonstrating NECP Goal Two Performance (Proposal).....	3

Distribution Statement: This is a public document documenting the Arizona Approach for Assessing Non-UASI Counties Progress toward Meeting NECP Goal Two. The Point of Contact (POC) for this document is the Public Safety Interoperable Communications (PSIC) Office in the Arizona Government Information Technology Agency (GITA). Additional information on the NECP and current contact information for the PSIC Office can be found at www.azgita.gov/psic/.

Effective: 07/20/2010

i

Effective: 11/16/2010

Appendix I

Arizona Approach for Assessing Non-UASI Counties Progress toward Meeting NECP Goal Two

1 Background

The National Emergency Communications Plan (NECP) is the Nation's first strategic plan to improve emergency response communications. The Office of Emergency Communications (OEC) at US Department of Homeland Security (DHS) developed the NECP in cooperation with federal departments and agencies, state, local, and tribal governments, emergency response providers and the private sector. The vision of the NECP is to ensure emergency response personnel at all levels of government and across all disciplines, can communicate as needed, on demand and as authorized through improvements in communications operability, interoperability and continuity nationwide.

The NECP sets forth 3 key goals for improved interoperability, operability, and continuity of communications as follows:

- Goal 1 - By 2010, 90 percent of all high risk urban areas designated within the Urban Area Security Initiative (UASI) are able to demonstrate response level emergency communications within one hour for routine events involving multiple jurisdictions and agencies
- Goal 2 - By 2011, 75 percent of non-UASI jurisdictions are able to demonstrate response-level emergency communications within one hour for routine events involving multiple jurisdictions and agencies
- Goal 3 - By 2013, 75 percent of all jurisdictions are able to demonstrate response-level emergency communications within three hours, in the event of a significant incident as outlined in national planning scenarios.

Emergency Communications is defined by the NECP as the ability of emergency responders to exchange information via data, voice and video, as authorized to complete their missions. Response level emergency communications is defined by the NECP as the capacity of individuals with primary operational leadership responsibility to manage resources and make timely decisions during an incident involving multiple agencies, without technical or procedural communication impediments.

2 NECP Goal Two Measurement

OEC is requesting that each state measure (a) capabilities and (b) performance to demonstrate Goal Two compliance. OEC has developed a capability questionnaire for purposes of documenting and reporting county level capability data. OEC has also developed a web based tool for measuring county level performance data.

OEC is requesting that each state document their process or methodology for using these tools to measure meeting NECP Goal Two. Arizona must submit our measurement methodology as part of our 2010 SCIP Implementation Report. (Due July 2010)

Appendix I

Arizona Approach for Assessing Non-UASI Counties Progress toward Meeting NECP Goal Two



3 Documenting NECP Goal Two Capabilities

The National Emergency Communications Plan (NECP) required capabilities data will be collected as part of the annual Target Capabilities Assessment (TCA) update conducted by the Arizona Department of Homeland Security (AZDOHS).

- Use of existing structure will reduce burden on local agencies
- Using 2010 TCA will allow Arizona to get a head start on documenting capabilities

The Public Safety Interoperable Communications Office (PSIC) will extract the county level capabilities data from the communications portion of the TCA for inclusion in the annual SCIP Implementation Report.

The Public Safety Communications Advisory Commission (PSCC) will review and approve the final capabilities reports for inclusion in the 2011 SCIP Implementation Report.

Timeline: *(Estimates, subject to change)*

April – May 2010: PSIC Office solicits comments on proposed assessment methodology

June - July 2010: TCA Data Collection

July 2010: Arizona approach documented in 2010 SCIP Implementation Report and submitted to OEC

September 2010: Final TCA Report Issued

October 2010: PSIC Office extracts county level interoperable communications capability data from TCA

November 2010: OEC publishes final capabilities reporting tool and PSIC Office determines if additional capabilities need to be documented

January – April 2011: Additional capability data collected (only if needed)

May 2011: PSCC reviews and approves capability data for inclusion in 2011 SCIP Implementation Report

July 2011: Capabilities data included in 2011 SCIP Implementation Report submitted to OEC

Appendix I

Arizona Approach for Assessing Non-UASI Counties Progress toward Meeting NECP Goal Two



4 Demonstrating NECP Goal Two Performance (Proposal)

- Performance will be assessed on a county by county basis in Arizona
- Each Non-UASI county will submit 2 or 3 possible planned events or exercises that could be used to assess their performance
- The PSIC Office will review and publish a list of events or exercises to be assessed statewide (one per county)
- A Point of Contact (POC) for each non-UASI county will be designated by the county to coordinate local performance measurement efforts
- The PSIC Office will help counties with pre-planning for the selected events and exercises
- The PSIC Office will observe and/or help with the selected events and exercises
- As part of the after action process, a session will be conducted by the PSIC Office with local staff to complete the OEC performance reporting tool
- PSCC will review and approve final performance reports for inclusion in the 2011 SCIP Implementation Report

Timeline: *(Estimates, subject to change)*

April – May 2010: PSIC Office solicits comments on proposed assessment methodology

July 2010: Arizona approach documented in 2010 SCIP Implementation Report and submitted to OEC

September 2010: Non-UASI County POCs identified by the counties; Counties submit 2 or 3 possible events or exercises for assessment

October 2010: PSIC Office publishes lists of events or exercises to be assessed (one per county)

November 2010: OEC publishes final performance reporting tool

November 2010 – May 2011: Non-UASI counties conduct performance assessment and after action sessions with PSIC Office support

May 2011: PSCC reviews and approves assessments for inclusion in 2011 SCIP Implementation Report

July 2011: Performance Assessment data included in 2011 SCIP Implementation Report submitted to OEC

Effective: 07/20/2010

3

Appendix II
**National Emergency Communications Plan (NECP)
Goal Two Assessment Event Selection Form**

Directions: In accordance with Arizona's NECP Goal Two Methodology, each Non-UASI county (AZ counties other than Maricopa and Pima) shall identify two or three possible events that could be used to assess their performance for NECP Goal Two (as required by Federal Department of Homeland Security). An event must: (1) involve multiple jurisdictions and responder disciplines; and (2) be managed under National Incident Management System (NIMS) compliant Incident Command System (ICS) structure. From the submitted events, the PSIC Office will select a single event to be observed for each county's NECP Goal Two assessment.

The County Emergency Manager, or designee, should complete the required information below for each event and submit this form to the PSIC Office via email at: NECP@azgita.gov by **December 3rd, 2010**.

Form Completed By: _____
Daytime Phone: _____ **Email Address:** _____

Possible Event #1

Event Title: _____
Date: _____ Start Time: _____ End Time: _____
Location: _____ Expected Attendance: _____
Description: _____

Lead Agency & Jurisdiction: _____
Participating Agencies & Jurisdictions: _____

Possible Event #2

Event Title: _____
Date: _____ Start Time: _____ End Time: _____
Location: _____ Expected Attendance: _____
Description: _____

Lead Agency & Jurisdiction: _____
Participating Agencies & Jurisdictions: _____

Possible Event #3

Event Title: _____
Date: _____ Start Time: _____ End Time: _____
Location: _____ Expected Attendance: _____
Description: _____

Lead Agency & Jurisdiction: _____
Participating Agencies & Jurisdictions: _____

Appendix III

NECP Goal 1 & 2

Response-Level Emergency Communication Observational Elements/Criteria

Common Policies and Procedures
<u>Element: 1</u> Interagency communications policies and procedures were common or consistent amongst all responding agencies.
<u>Element: 2</u> Established interagency communications policies and procedures were followed throughout the incident.
<u>Element: 3</u> Interagency communications policies and procedures across all responding agencies were consistent with NIMS.
<u>Element: 4</u> A priority order for use of interagency communications resources was followed as established in standard operation procedures or plans, such as the Tactical Interoperable Communications Plan (TICP).
<u>Element: 5</u> A primary interagency operations talk path was clearly established by procedure or communicated to responders early in the incident.
<u>Element: 6</u> Common terminology and plain language were used in all interagency communications.
<u>Element: 7</u> Clear unit identification procedures were used.
<u>Element: 8</u> Common channel names were used for designated interoperability channels.
Responder Roles and Responsibilities
<u>Element: 9</u> Multiple organizations with inherent responsibility for some portion of the incident were present and joined in a unified command with a single individual designated with the Operations Section Chief responsibilities.
<u>Element: 10</u> Span of controls was maintained amongst the primary operational leadership: The Operations Section Chief and first-level subordinates.
<u>Element: 11</u> Communications Unit Leader (COML) roles and responsibilities were carried out by the Incident Commander (IC)/Unified Command (UC) or designee. <ul style="list-style-type: none">▪ Necessary communications resources were effectively ordered using documented procedures.▪ A communications plan was established by procedure or developed early in the incident.
Quality and Continuity
<u>Element: 12</u> No more than one out of 10 transmissions was repeated amongst the primary operational leadership due to the failure of initial communications attempts.
<u>Element: 13</u> Upon failure or overload of any primary communications mode, a back-up was provided.
<u>Element: 14</u> Primary operational leadership communicated adequately to manage resources and make timely decisions during the incident or event.

INFORMATIONAL ONLY DRAFT DOCUMENT PENDING PAPERWORK REDUCTION ACT APPROVAL